

BALSON ANDREW  
Form 4  
March 01, 2013

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BALSON ANDREW**

(Last) (First) (Middle)

**C/O BAIN CAPITAL PARTNERS,  
LLC, JOHN HANCOCK TOWER,  
200 CLARENDON STREET**

(Street)

**BOSTON, MA 02116**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**DOMINOS PIZZA INC [DPZ]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**02/27/2013**

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount (D) Price		
Common Stock, \$0.01 par value	02/27/2013		A		2,600 (1) \$ 0	31,283	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474  
(9-02)



Ministry Brands, LLC and MB Parent HoldCo, L.P. (dba Community Brands) (21)

Software and payment services provider to faith-based institutions

First lien senior secured revolving loan (\$3.3 par due 12/2022)

9.25% (Base Rate + 4.00%/Q)

12/2/2016

3.3

3.3

(2)(17)

First lien senior secured loan (\$4.9 par due 12/2022)

6.24% (Libor + 4.00%/M)

8/22/2017

4.9

4.9

(2)(17)

First lien senior secured loan (\$10.5 par due 12/2022)

6.24% (Libor + 4.00%/M)

4/6/2017

10.5

10.5

(2)(17)

Explanation of Responses:

First lien senior secured loan (\$14.5 par due 12/2022)

6.24% (Libor + 4.00%/M)

4/6/2017

14.5

14.5

(2)(17)

Second lien senior secured loan (\$16.6 par due 6/2023)

11.75% (Libor + 9.25%/Q)

12/2/2016

16.6

16.6

(2)(17)

Second lien senior secured loan (\$17.9 par due 6/2023)

11.75% (Libor + 9.25%/Q)

8/22/2017

17.9

17.9

(2)(17)

Explanation of Responses:

Second lien senior secured loan (\$4.7 par due 6/2023)

11.75% (Libor + 9.25%/Q)

4/6/2017

4.7

4.7

(2)(17)

Second lien senior secured loan (\$3.6 par due 6/2023)

10.24% (Libor + 8.00%/M)

4/18/2018

3.6

3.6

(2)(17)

Second lien senior secured loan (\$9.2 par due 6/2023)

11.75% (Libor + 9.25%/Q)

4/6/2017

9.2

9.2

(2)(17)

Explanation of Responses:

Second lien senior secured loan (\$38.6 par due 6/2023)

10.50% (Libor + 8.00%/Q)

4/18/2018

38.6

38.6

(2)(17)

Second lien senior secured loan (\$90.0 par due 6/2023)

11.75% (Libor + 9.25%/Q)

12/2/2016

89.4

90.0

(2)(17)

Class A units (500,000 units)

12/2/2016

5.0

7.0

(2)

Explanation of Responses:

218.2

220.8

MVL Group, Inc. (7)

Marketing research provider

Common stock (560,716 shares)

4/1/2010

—

—

(2)

NAS, LLC, Nationwide Marketing Group, LLC and Nationwide Administrative Services, Inc.

Buying and marketing services organization for appliance, furniture and consumer electronics dealers

Second lien senior secured loan (\$24.1 par due 12/2021)

11.09% (Libor + 8.75%/Q)

6/1/2015

24.1

24.1

(2)(17)

Explanation of Responses:

Second lien senior secured loan (\$7.0 par due 12/2021)

11.14% (Libor + 8.75%/Q)

6/1/2015

7.0

7.0

(2)(17)

31.1

31.1

Novetta Solutions, LLC

Provider of advanced analytics solutions for the government, defense and commercial industries

First lien senior secured loan (\$12.6 par due 10/2022)

7.25% (Libor + 5.00%/M)

1/3/2017

12.2

12.0

(2)(17)

Explanation of Responses:

Second lien senior secured loan (\$31.0 par due 10/2023)

10.75% (Libor + 8.50%/M)

1/3/2017

28.6

27.0

(2)(17)

40.8

39.0

NSM Insurance Group, LLC

Insurance program administrator

First lien senior secured loan (\$6.7 par due 5/2024)

6.89% (Libor + 4.50%/Q)

5/11/2018

6.7

6.7

(2)(17)

Explanation of Responses:

First lien senior secured loan (\$13.2 par due 5/2024)

6.89% (Libor + 4.50%/Q)

5/11/2018

13.2

13.0

(2)(17)

19.9

19.7

PayNearMe, Inc.

Electronic cash payment system provider

Warrant to purchase up to 195,726 shares of Series E preferred stock (expires 3/2023)

3/11/2016

0.2

—

(2)

Explanation of Responses:

PDI TA Holdings, Inc. (21)

Provider of enterprise management software for the convenience retail and petroleum wholesale markets

First lien senior secured revolving loan (\$4.3 par due 8/2023)

9.00% (Base Rate + 3.75%/Q)

8/25/2017

4.3

4.3

(2)(17)

First lien senior secured loan (\$5.0 par due 8/2023)

7.09% (Libor + 4.75%/Q)

4/11/2018

5.0

5.0

(2)(17)

First lien senior secured loan (\$0.4 par due 8/2023)

7.23% (Libor + 4.75%/Q)

4/11/2018

0.4

0.4

(2)(17)

Explanation of Responses:

First lien senior secured loan (\$23.4 par due 8/2023)

7.14% (Libor + 4.75%/Q)

8/25/2017

23.4

23.4

(2)(17)

First lien senior secured loan (\$5.1 par due 8/2023)

7.22% (Libor + 4.75%/Q)

8/25/2017

5.1

5.1

(2)(17)

16

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
		First lien senior secured loan (\$2.7 par due 8/2023)	7.09% (Libor + 4.75%/Q)	8/25/2017	2.7	2.7(2)(17)	
		Second lien senior secured loan (\$14.7 par due 8/2024)	11.09% (Libor + 8.75%/Q)	8/25/2017	14.7	14.7(2)(17)	
		Second lien senior secured loan (\$1.9 par due 8/2024)	11.23% (Libor + 8.75%/Q)	8/25/2017	1.9	1.9(2)(17)	
		Second lien senior secured loan (\$23.2 par due 8/2024)	11.25% (Libor + 8.75%/Q)	8/25/2017	23.2	23.2(2)(17)	
		Second lien senior secured loan (\$16.7 par due 8/2023)	11.22% (Libor + 8.75%/Q)	4/11/2018	16.7	16.7(2)(17)	
		Second lien senior secured loan (\$66.8 par due 8/2024)	11.07% (Libor + 8.75%/Q)	8/25/2017	66.8	66.8(2)(17)	
					164.2	164.2	
PHL Investors, Inc., and PHL Holding Co. (7)	Mortgage services	Class A common stock (576 shares)		7/31/2012	3.8	— (2)	
PHNTM Holdings, Inc. and Planview Parent, Inc.	Provider of project and portfolio management software	Second lien senior secured loan (\$62.0 par due 7/2023)	11.99% (Libor + 9.75%/M)	1/27/2017	61.3	62.0(2)(17)	
		Class A common shares (990 shares)		1/27/2017	1.0	1.4(2)	
		Class B common shares (168,329 shares)		1/27/2017	—	0.2(2)	
					62.3	63.6	
Poplicus Incorporated	Business intelligence and market analytics platform for	Warrant to purchase up to		6/25/2015	0.1	— (2)	

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	companies that sell to the public sector	2,402,991 shares of Series C preferred stock (expires 6/2025)					
Production Resource Group, L.L.C.	Provider of rental equipment, labor, production management, scenery, and other products to various entertainment end-markets	First lien senior secured loan (\$101.0 par due 8/2024)	9.32% (Libor + 7.00%/Q)	8/21/2018	101.0	100.0	(17)
Project Alpha Intermediate Holding, Inc. and Qlik Parent, Inc.	Provider of data visualization software for data analytics	Class A common shares (7,445 shares)		8/22/2016	7.4	8.5	(2)
		Class B common shares (1,841,609 shares)		8/22/2016	0.1	0.1	(2)
R2 Acquisition Corp.	Marketing services	Common stock (250,000 shares)		5/29/2007	0.3	0.2	(2)
SCM Insurance Services Inc. (8)(21)	Provider of claims management, claims investigation & support and risk management solutions for the Canadian property and casualty insurance industry	First lien senior secured revolving loan (\$2.9 par due 8/2022)	7.70% (Libor + 4.00%/Q)	8/29/2017	2.8	2.7	(2)(17)
		First lien senior secured loan (\$20.7 par due 8/2024)	6.82% (Libor + 5.00%/M)	8/29/2017	21.3	19.8	(17)
		Second lien senior secured loan (\$58.7 par due 3/2025)	10.82% (Libor + 9.00%/M)	8/29/2017	60.5	55.2	(17)
SpareFoot, LLC (21)	PMS solutions and web services for the self-storage industry.	First lien senior secured revolving loan (\$0.3 par due 4/2023)	6.35% (Libor + 4.25%/M)	4/13/2018	0.3	0.3	(2)(17)
		First lien senior secured loan (\$1.2 par due 4/2024)	6.49% (Libor + 4.25%/M)	8/31/2018	1.2	1.2	(2)(17)
		First lien senior secured loan (\$4.7 par due 4/2024)	6.35% (Libor + 4.25%/M)	4/13/2018	4.7	4.7	(2)(17)
					84.6	77.7	

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		Second lien senior secured loan (\$6.1 par due 4/2025)	10.49% (Libor + 8.25%/M)	4/13/2018	6.0	6.0(2)(17)
		Second lien senior secured loan (\$4.2 par due 4/2025)	10.49% (Libor + 8.25%/M)	8/31/2018	4.1	4.1(2)(17)
					16.3	16.3
Sparta Systems, Inc., Project Silverback Holdings Corp. and Silverback Holdings, Inc. (21)	Quality management software provider	Second lien senior secured loan (\$20.0 par due 8/2025)	10.46% (Libor + 8.25%/M)	8/21/2017	19.7	18.6(2)(17)

17

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
		Series B preferred shares (10,084 shares)		8/21/2017	1.1	0.6	
					20.8	19.2	
Syntax USA Acquisition Corporation (8)(21)	Provider of cloud ERP hosting and consulting services for Oracle users	First lien senior secured revolving loan (\$0.9 par due 4/2021)	6.42% (Libor + 4.25%/M)	2/8/2018	0.9	0.8(2)(17)	
Talari Networks, Inc.	Networking equipment provider	First lien senior secured loan (\$6.0 par due 10/2019)	16.60% (Libor + 14.50%/M)	8/3/2015	5.8	6.2(2)(15)(17)	
		Warrant to purchase up to 421,052 shares of Series D-1 preferred stock (expires 8/2022)		8/3/2015	0.1	— (2)	
					5.9	6.2	
Telestream Holdings Corporation (21)	Provider of digital video tools and workflow solutions to the media and entertainment industries	First lien senior secured revolving loan (\$0.9 par due 3/2022)	10.70% (Base Rate + 5.45%/Q)	2/8/2018	0.9	0.9(2)(17)(20)	
UL Holding Co., LLC (6)	Provider of collection and landfill avoidance solutions for food waste and unsold food products	Senior subordinated loan (\$26.4 par due 5/2020)	10.00% PIK	4/30/2012	9.3	26.4(2)	
		Senior subordinated loan (\$3.8 par due 5/2020)		4/30/2012	1.3	3.8(2)	
		Senior subordinated loan (\$6.6 par due 5/2020)	10.00% PIK	4/30/2012	2.3	6.6(2)	
		Senior subordinated loan (\$0.5 par due 5/2020)		4/30/2012	0.2	0.5(2)	
		Senior subordinated loan (\$3.1 par due	10.00% PIK	4/30/2012	1.1	3.1(2)	

Explanation of Responses:

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	5/2020)					
	Senior					
	subordinated loan		4/30/2012	0.2	0.4(2)	
	(\$0.4 par due					
	5/2020)					
	Class A common					
	units (533,351		6/17/2011	5.0	1.2(2)	
	units)					
	Class B-5					
	common units		6/17/2011	2.5	0.6(2)	
	(272,834 units)					
	Class C common					
	units (758,546		4/25/2008	—	— (2)	
	units)					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	719,044 shares of					
	Class A units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	28,663 shares of					
	Class B-1 units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	57,325 shares of					
	Class B-2 units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	29,645 shares of					
	Class B-3 units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	80,371 shares of					
	Class B-5 units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	59,655 shares of					
	Class B-6 units					
	Warrant to					
	purchase up to		5/2/2014	—	— (2)	
	1,046,713 shares					
	of Class C units					
				21.9	42.6	
Velocity	Hosted enterprise resource					
Holdings	planning application	Common units				
Corp.	management services	(1,713,546 units)	12/13/2013	4.5	3.5	
	provider					
Visual Edge	Provider of outsourced	First lien senior	7.99% (Libor +	8/31/2017	12.3	12.0)(17)
Technology,	office solutions with a	secured loan	5.75%/M)			
Inc. (21)	focus on printer and copier	(\$12.3 par due				
	equipment and other parts	8/2022)				

Explanation of Responses:

and supplies

First lien senior secured loan (\$16.8 par due 8/2022)	7.99% (Libor + 5.75%/M)	8/31/2017	16.7	16.8(17)
Senior subordinated loan (\$54.2 par due 9/2024)	12.50% PIK	8/31/2017	50.8	54.2)

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
		Warrant to purchase up to 1,816,089 shares of common stock (expires 8/2027)		8/31/2017	—	— (2)	
		Warrant to purchase up to 2,070,511 shares of preferred stock (expires 8/2027)		8/31/2017	3.9	4.0 (2)	
					83.7	87.3	
VRC Companies, LLC (21)	Provider of records and information management services	First lien senior secured revolving loan (\$0.8 par due 3/2022)	8.74% (Libor + 6.50%/M)	4/17/2017	0.8	0.8 (2)(17)	
		First lien senior secured loan (\$0.3 par due 3/2023)	8.74% (Libor + 6.50%/M)	3/31/2017	0.3	0.3 (2)(17)	
		First lien senior secured loan (\$1.5 par due 3/2023)	8.74% (Libor + 6.50%/M)	3/13/2018	1.5	1.5 (2)(17)	
		First lien senior secured loan (\$0.1 par due 3/2023)	8.71% (Libor + 6.50%/M)	3/13/2018	0.1	0.1 (2)(17)	
					2.7	2.7	
WorldPay Group PLC (8)	Payment processing company	C2 shares (73,974 shares)		10/21/2015	—	— (24)	
Worldwide Facilities, LLC (21)	Specialty insurance wholesale broker	First lien senior secured loan (\$0.9 par due 4/2024)	6.64% (Libor + 4.25%/Q)	5/3/2018	0.9	0.8 (2)(17)	
		First lien senior secured loan (\$1.6 par due	6.64% (Libor + 4.25%/Q)	5/3/2018	1.6	1.6 (2)(17)	

Explanation of Responses:

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		4/2024)			2.5	2.4	
XIFIN, Inc. (21)	Revenue cycle management provider to labs	First lien senior secured revolving loan	—	2/8/2018	—	—	(19)
Zywave, Inc. (21)	Provider of software and technology-enabled content and analytical solutions to insurance brokers	First lien senior secured revolving loan (\$0.5 par due 11/2022)	7.24% (Libor + 5.00%/M)	11/17/2016	0.5	0.5	(2)(17)
		First lien senior secured revolving loan (\$0.3 par due 11/2022)	9.25% (Base Rate + 4.00%/M)	11/17/2016	0.3	0.3	(2)(17)
		Second lien senior secured loan (\$27.0 par due 11/2023)	11.31% (Libor + 9.00%/Q)	11/17/2016	27.0	27.0	(2)(17)
					27.8	27.8	
					1,837.1	1,845.5	25.24 %
Consumer Products Badger Sportswear Acquisition, Inc.	Provider of team uniforms and athletic wear	Second lien senior secured loan (\$56.8 par due 3/2024)	11.17% (Libor + 9.00%/M)	9/6/2016	56.7	56.8	(2)(17)
BRG Sports, Inc.	Designer, manufacturer and licensor of branded sporting goods	Preferred stock (2,009 shares)		1/3/2017	—	—	
		Common stock (6,566,655 shares)		1/3/2017	—	0.5	
					—	0.5	
Consumer Health Parent LLC	Developer and marketer of over-the-counter cold remedy products	Preferred units (1,072 units)		12/15/2017	1.1	0.8	(2)
		Series A units (1,072 units)		12/15/2017	—	—	(2)
					1.1	0.8	
Feradyne Outdoors, LLC and Bowhunter Holdings, LLC	Provider of branded archery and bowhunting accessories	Common units (421 units)		4/24/2014	4.2	0.1	(2)
Implus Footcare, LLC	Provider of footwear and other accessories	First lien senior secured loan (\$14.2 par due 4/2021)	9.14% (Libor + 6.75%/Q)	6/1/2017	14.2	14.2	(2)(17)
		First lien senior secured loan (\$5.0 par due	9.14% (Libor + 6.75%/Q)	7/17/2018	5.0	5.0	(2)(17)

Explanation of Responses:

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4/2021)					
First lien senior					
secured loan	9.14% (Libor +	6/1/2017	76.6	76.6(2)(17)	
(\$76.6 par due	6.75%/Q)				
4/2021)					
First lien senior					
secured loan	9.14% (Libor +	6/1/2017	19.4	19.4(4)(17)	
(\$19.4 par due	6.75%/Q)				
4/2021)					
First lien senior					
secured loan	9.09% (Libor +	6/30/2016	0.2	0.2 (2)(17)	
(\$0.2 par due	6.75%/Q)				
4/2021)					
			115.4	115.4	

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
Indra Holdings Corp.	Designer, marketer, and distributor of rain and cold weather products	First lien senior secured loan (\$10.0 par due 5/2021)	6.49% (Libor + 4.25%/M)	2/8/2018	6.5	6.1(2)(17)	
		Second lien senior secured loan (\$80.0 par due 11/2021)		5/1/2014	70.1	16.0(2)(16)	
					76.6	23.0	
Plantation Products, LLC, Seed Holdings, Inc. and Flora Parent, Inc.	Provider of branded lawn and garden products	Second lien senior secured loan (\$2.0 par due 6/2021)	10.23% (Libor + 7.89%/Q)	12/23/2014	2.0	2.0(2)(17)	
		Second lien senior secured loan (\$54.0 par due 6/2021)	10.23% (Libor + 7.89%/Q)	12/23/2014	53.9	54.0(2)(17)	
		Second lien senior secured loan (\$10.0 par due 6/2021)	10.23% (Libor + 7.89%/Q)	12/23/2014	10.0	10.0(2)(17)	
		Common stock (30,000 shares)		12/23/2014	3.0	6.0(2)	
						68.9	72.0
Rug Doctor, LLC and RD Holdco Inc. (7)	Manufacturer and marketer of carpet cleaning machines	Second lien senior secured loan (\$16.9 par due 10/2019)	12.33% (Libor + 9.75%/Q)	1/3/2017	16.9	16.0(2)(17)	
		Common stock (458,596 shares)		1/3/2017	14.0	19.5	
		Warrant to purchase up to 56,372 shares of common stock (expires 12/2023)		1/3/2017	—	—	
					30.9	36.4	
S Toys Holdings LLC (fka The Step2 Company, LLC) (7)	Toy manufacturer	Common units (1,116,879 units)		4/1/2011	—	0.4	
				10/30/2014	—	— (2)	

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		Class B common units (126,278,000 units)						
		Warrant to purchase up to 3,157,895 units		4/1/2010	—	—		
						—	0.4	
SHO Holding I Corporation	Manufacturer and distributor of slip resistant footwear	Second lien senior secured loan (\$100.0 par due 4/2023)	10.84% (Libor + 8.50%/Q)	10/27/2015	98.4	91.0	(17)	
Shock Doctor, Inc. and Shock Doctor Holdings, LLC (6)	Developer, marketer and distributor of sports protection equipment and accessories	Second lien senior secured loan (\$89.4 par due 10/2021)	13.34% (Libor + 11.00%/Q)	4/22/2015	89.4	80.0	(17)	
		Class A preferred units (50,000 units)		3/14/2014	5.0	1.1	(2)	
		Class C preferred units (50,000 units)		4/22/2015	5.0	1.1	(2)	
					99.4	82.7		
Singer Sewing Company, SVP-Singer Holdings, LLC and SVP-Singer Holdings LP (7)(21)	Manufacturer of consumer sewing machines	First lien senior secured revolving loan (\$2.5 par due 3/2023)	11.18% (Libor + 9.00%/Q)	7/26/2017	2.5	2.5	(2)(17)(20)	
		First lien senior secured revolving loan (\$1.5 par due 3/2023)	11.16% (Libor + 9.00%/Q)	7/26/2017	1.5	1.5	(2)(17)(20)	
		First lien senior secured revolving loan (\$75.8 par due 3/2023)	11.39% (Libor + 9.00%/Q)	7/26/2017	75.8	75.0	(17)(20)	
		First lien senior secured loan (\$180.9 par due 3/2023)	5.00% (Libor + 2.61%/Q)	7/26/2017	174.5	160.0	(17)	
		Class A common units (6,500,000 units)		7/26/2017	—	—	(2)	
					254.3	240.1		
Varsity Brands Holding Co., Inc. and BCPE Hercules Holdings, LP	Leading manufacturer and distributor of textiles, apparel & luxury goods	Second lien senior secured loan (\$21.1 par due 12/2025)	10.49% (Libor + 8.25%/M)	7/30/2018	21.1	21.0	(17)	

Explanation of Responses:

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		Second lien senior secured loan (\$72.7 par due 12/2025)	10.49% (Libor + 8.25%/M)	12/15/2017	72.7	72.7(17)
		Second lien senior secured loan (\$50.0 par due 12/2025)	10.49% (Libor + 8.25%/M)	12/15/2017	50.0	50.0(17)
		Class A units (1,400 units)		7/30/2018	1.4	1.4(2)
					145.2	145.2
Woodstream Group, Inc. and Woodstream Corporation (21)	Pet products manufacturer	First lien senior secured loan (\$3.1 par due 5/2022)	8.43% (Libor + 6.25%/M)	6/21/2017	3.1	3.1(4)(17)

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
		First lien senior secured loan (\$1.5 par due 5/2022)	8.43% (Libor + 6.25%/M)	6/21/2017	1.5	1.5(2)(17)	
		First lien senior secured loan (\$0.9 par due 5/2022)	8.56% (Libor + 6.25%/M)	6/21/2017	0.9	0.9(2)(17)	
		First lien senior secured loan (\$1.8 par due 5/2022)	8.56% (Libor + 6.25%/M)	6/21/2017	1.8	1.8(4)(17)	
		First lien senior secured loan (\$3.1 par due 5/2022)	8.60% (Libor + 6.25%/M)	6/21/2017	3.1	3.1(4)(17)	
		First lien senior secured loan (\$1.5 par due 5/2022)	8.60% (Libor + 6.25%/M)	6/21/2017	1.5	1.5(2)(17)	
					11.9	11.9	
					963.0	876.3	11.98 %
Financial Services							
Callidus Capital Corporation (7)	Asset management services	Common stock (100 shares)		4/1/2010	3.0	1.7	
Ciena Capital LLC (7)	Real estate and small business loan servicer	Equity interests		11/29/2010	12.7	10.2	
Commercial Credit Group, Inc.	Commercial equipment finance and leasing company	Senior subordinated loan (\$28.0 par due 8/2022)	11.86% (Libor + 9.75%/Q)	5/10/2012	28.0	28.0(2)(17)	
DFC Global Facility Borrower II LLC (21)	Non-bank provider of alternative financial services	First lien senior secured revolving loan (\$93.6 par due 9/2022)	12.85% (Libor + 10.75%/M)	9/27/2017	93.6	93.6(2)(17)	
Financial Asset Management Systems, Inc. and FAMS Holdings, Inc. (6)	Debt collection services provider	Common stock (180 shares)		1/11/2017	—	— (2)	

Explanation of Responses:

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Gordian Group, LLC	Provider of products, services and software to organizations pursuing efficient and effective procurement and information solutions	Common stock (526 shares)		11/30/2012	—	— (2)
Imperial Capital Group LLC	Investment services	Class A common units (24,945 units)		5/10/2007	6.1	10.8(2)
		2006 Class B common units (8,173 units)		5/10/2007	—	— (2)
Ivy Hill Asset Management, L.P. (7)(9)	Asset management services	Member interest (100.00% interest)		6/15/2009	444.0	516.3
		Member interest (100.00% interest)				
Javlin Three LLC, Javlin Four LLC, and Javlin Five LLC (9)	Asset-backed financial services company	First lien senior secured loan (\$16.1 par due 6/2017)		6/24/2014	15.3	10.8(2)(16)
LS DE LLC and LM LSQ Investors LLC (9)	Asset based lender	Senior subordinated loan (\$3.0 par due 6/2021)	10.50%	6/15/2017	3.0	3.0(2)
		Senior subordinated loan (\$27.0 par due 6/2021)	10.50%	6/25/2015	27.0	27.0(2)
		Membership units (3,275,000 units)		6/25/2015	3.3	3.9
					33.3	33.9
NM GRC HOLDCO, LLC (21)	Regulatory compliance services provider to financial institutions	First lien senior secured loan (\$19.3 par due 2/2024)	7.89% (Libor + 5.50%/Q)	2/9/2018	19.3	19.8(2)(17)
		First lien senior secured loan (\$61.0 par due 2/2024)	7.89% (Libor + 5.50%/Q)	2/9/2018	60.4	61.0(2)(17)
					79.7	80.3
Payment Alliance International, Inc. (21)	Reseller of ATM process services through 3rd party processing networks	First lien senior secured revolving loan (\$3.2 par due 9/2021)	10.30% (Base Rate + 5.05%/M)	2/8/2018	3.2	3.2(2)(17)
Vela Trading Technologies, LLC (21)	Provider of market data software and content to global financial services	First lien senior secured revolving loan	7.32% (Libor + 5.00%/Q)	2/8/2018	1.5	1.5(2)(17)

Explanation of Responses:

clients

(\$1.5 par due  
6/2022)

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As of September 30, 2018  
(dollar amounts in millions)  
(unaudited)

Company(1)	Business Description	Investment	Interest(5)(10)	Acquisition Date	Amortized Cost	Fair Value	Percentage of Net Assets
		First lien senior secured loan (\$5.0 par due 6/2022)	7.34% (Libor + 5.00%/Q)	4/17/2018	5.0	4.9(2)(17)	
					6.5	6.4	
					725.4	794.6	10.87 %
Investment Funds and Vehicles							
ACAS Equity Holdings Corporation (7)(9)	Investment company	Common stock (589 shares)		1/3/2017	0.4	0.4	
Ares IIIR/IVR CLO Ltd. (7)(8)(9)	Investment vehicle	Subordinated notes (\$20.0 par due 4/2021)		1/3/2017	—	0.1	
Blue Wolf Capital Fund II, L.P. (6)(8)(9)	Investment partnership	Limited partnership interest (8.50% interest)		1/3/2017	1.6	2.4(24)	
Carlyle Global Market Strategies CLO 2015-3 (8)(9)	Investment vehicle	Subordinated notes (\$24.6 par due 7/2028)	8.90%	1/3/2017	17.7	19.8	
Centurion CDO 8 Limited (8)(9)	Investment vehicle	Subordinated notes (\$5.0 par due 3/2019)		1/3/2017	—	—	
CoLTs 2005-1 Ltd. (7)(8)(9)	Investment vehicle	Preferred shares (360 shares)		1/3/2017	—	—	
CoLTs 2005-2 Ltd. (7)(8)(9)	Investment vehicle	Preferred shares (34,170,000 shares)		1/3/2017	—	—	
CREST Exeter Street Solar 2004-1 (8)(9)	Investment vehicle	Preferred shares (3,500,000 shares)		1/3/2017	—	—	
Eaton Vance CDO X plc (8)(9)	Investment vehicle	Subordinated notes (\$9.7 par due 2/2027)		1/3/2017	—	0.3	
European Capital UK SME Debt LP (6)(8)(9)(22)	Investment partnership	Limited partnership interest (45% interest)		1/3/2017	35.4	36.3	
Goldentree Loan Opportunities VII, Limited (8)(9)	Investment vehicle	Subordinated notes (\$35.3 par due 4/2025)		1/3/2017	0.6	0.6	

Explanation of Responses:

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HCI Equity, LLC (7)(8)(9)	Investment company	Member interest (100.00% interest)		4/1/2010	—	0.1(24)
Herbert Park B.V. (8)(9)	Investment vehicle	Subordinated notes (\$6.2 par due 10/2026)		1/3/2017	0.9	—
Imperial Capital Private Opportunities, LP (6)(9)	Investment partnership	Limited partnership interest (80.00% interest)		5/10/2007	—	9.7(2)
Montgomery Lane, LLC and Montgomery Lane, Ltd. (7)(8)(9)	Investment company	Common stock (100 shares)		1/3/2017	—	—
		Common stock (50,000 shares)		1/3/2017	—	—
					—	—
OHA Credit Partners XI (8)(9)	Investment vehicle	Subordinated notes (\$17.8 par due 10/2028)	6.00%	1/3/2017	14.1	13.4
Partnership Capital Growth Fund I, L.P. (6)(9)						